

County Boards of Registrars

Records Disposition Authority

**Revision
Approved by the
Local Government
Records Commission
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Table of Contents

Functional and Organizational Analysis of the County Boards of Registrars	1-1
Sources of Information	1-1
Historical Context	1-1
Agency Organization	1-1
Agency Function and Subfunctions	1-2
Promulgating Rules and Regulations	1-2
Registering Voters	1-2
Maintaining Registration and Voting Information	1-3
Updating Registration Information	1-3
Purging the Voter Lists	1-3
Certifying Voter Information	1-4
Reporting Statistical Information	1-4
Administering Internal Operations	1-4
 Analysis of Record-Keeping Systems and Records Appraisal of the County	
Boards of Registrars	2-1
Agency Record-Keeping System	2-1
Records Appraisal	2-1
Temporary Records	3-1
Permanent Records	2-3
County Boards of Registrars	
Permanent Records List	2-7
 County Boards of Registrars Records Disposition Authority	
.....	3-1
Explanation of Records Requirements	3-1
Records Disposition Requirements	4-2
Promulgating Rules and Regulations	3-2
Registering Voters	3-3
Maintaining Registration and Voting Information	3-4
Updating Registration Information	3-5
Purging Voter Lists	3-6
Certifying Voter Information	3-6
Reporting Statistical Information	3-7
Administering Internal Operations–Managing the Agency	3-7
Administering Internal Operations - Managing Finances	3-10
Administering Internal Operations - Managing Human Resources	3-11
Administering Internal Operations - Managing Properties, Facilities, and	
Resources	3-13
Records No Longer Created	3-14
Requirement and Recommendations for Implementing the County Boards of Registrars	
Records Disposition Authority	3-16

Functional and Organizational Analysis of the County Boards of Registrars

Sources of Information

Office of Voter Registration

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General Reference Sources

Code of Alabama 1975, Sections 17-4-120 through 17-4-256

Alabama Government Manual (1994)

ALVIN User's Guide (1996)

Alabama Election Handbook, 7th edition

Handbook for Alabama County Commissioners, 8th edition

Holdings of the Alabama Department of Archives and History for county boards of registrars

Martin, David L. Alabama's Local Governments, 3rd edition (1994)

Owen, Thomas McAdory. History of Alabama and Dictionary of Alabama Biography (1921).

Thomas, James D., and William H. Stewart. Alabama Government and Politics (1988)

Historical Context

Registration of qualified voters was first required in Alabama during Reconstruction. Under the Constitution of 1868, it was “provided that the legislature should provide from time to time for the registration of qualified electors of the State.” Officially, the secretary of state was responsible for voter registration, but the process was closely supervised by federal military authorities. So successful was the plan of registration they concocted—“not only in the registration of qualified electors, but in preventing the possibility of persons voting who were disqualified”—that it was retained in the post-Reconstruction Constitution of 1875 to disenfranchise a different class of Alabamians. An act of 1893 made the county probate judge responsible for voter registration, “but the county registrar, immediately in charge of the work, was appointed by the governor” (Owen, vol. II, p. 1191).

Agency Organization

Alabama's current voter registration system dates from 1903, when three-member county boards of registrars were created by a state Board of Appointment, composed of the governor, the commissioner of agriculture, and the state auditor. Under this system, each Board of Appointment member may appoint one registrar per county. The governor's appointee is traditionally chairman, but the chairman has no more authority than other registrars and cannot unilaterally exercise the board's authority. Normally, the registrars serve four-year terms. However, they may be removed at any time by a majority vote of the Board of Appointment. In order to implement existing and future laws pertaining to voter registration, and also to develop a statewide voter file maintenance system, the county boards of registrars receive direction and computer support from the state Office of Voter Registration. The Secretary of State's office provides the boards with forms, supplies, copies of the Code of Alabama and the Alabama Election Handbook, and information on the National Voter

Registration Act of 1965. Each county judge of probate distributes certified voter lists to the polls on election day.

State law requires that boards of registrars not register any person as a qualified elector within ten days prior to an election (Code of Alabama 1975, Section 17-4-120). Under the National Voter Registration Act, the board may accept an application within the ten-day limit; however, the applicant is not eligible to vote in that election. Usually, a board's office is located in the county courthouse. The number of days board members may work is limited by the Code of Alabama, for most counties to between 120 and 216 days. (Exceptions are Baldwin, Calhoun, Chilton, Madison, Mobile, Montgomery, Morgan, and St. Clair Counties, where members may serve up to five days a week; and Jefferson County, where the board operates under local legislation.) Working time limits for individual registrars must not affect the total number of days an office is open. In counties with more than one courthouse, the board must divide its time equally between the various locations (Code of Alabama 1975, Section 17-4-157).

Agency Function and Subfunctions

The mandated duty of the boards of registrars is to administer voter registration in each county. Registrars decide whether to accept or reject voter applications, assign each registered voter to the right precinct, maintain and update voter files, maintain records of the office, certify alphabetical lists of registered voters for polling places, visit colleges and high schools to conduct open registration, provide proof of registration to voters, and notify other county boards of new registrations from their counties. The county boards of registrars are among the agencies responsible for carrying out the Regulatory function of local government in Alabama.

In performance of its mandated function, a county board of registrars may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** A board of registrars may establish procedures to ensure that the processing of voter registration forms is done in an orderly manner. Following passage of the National Voter Registration Act of 1965, the Office of the Secretary of State, together with the Office of Voter Registration, was given authority to promulgate administrative rules governing the voter registration process (Code of Alabama 1975, Section 17-4-255). As their policies and procedures manual, county boards of registrars use the Alabama Election Handbook, published by the Alabama Law Institute under the direction of the Secretary of State's office.
- **Registering Voters.** The primary mission of the board is voter registration. It takes a majority vote of the board for an application to be accepted and the voter registered. To be a qualified voter, an applicant must be eighteen by the date of the election; be a citizen of the United States, be a resident of the state and county where the application is submitted; not have been declared mentally incompetent by a court; and not have been convicted of any disqualifying felonies. When the application is approved, the board issues a voter registration card, assigns the new voter a precinct, and adds the voter to the list of registered voters. Alabama law requires a person registering to vote to complete an application form. The

board may assist if the registrant is incapable of completing the form, either because of an inability to read or write or due to physical limitations.

- **Maintaining Registration and Voting Information.** Under both the National Voter Registration Act and Alabama state law, voters remain on the voter list unless their qualifications change. A person may be removed from the voter list only for specific legal reasons. Because of this requirement, the board of registrars must maintain voter information for an extended period of time. Information on voter applications is entered in the computerized Alabama Voter Information Network (ALVIN).
- **Updating Registration Information.** The county boards of registrars currently update voter information in two ways. Qualified voters may complete and sign an update form to change their voter registration information. (The filing system for these forms varies from county to county. Some boards file them with voter applications, while others create a different file for updates.) The second method of updating voter information is the postcard notification method established by Act 95-769, a 1995 amendment of the Code of Alabama 1975, Sections 17-4-200 through -201. This process is designed to be completed in two phases. In the first phase, the board of registrars mails a postcard to each registered voter's address, along with a statement requiring the post office to return—not forward—the postcard if the addressee is not the current resident. Successful delivery of the initial postcard indicates that the address on file is valid and that no change needs to be made to the voter's record. In the second phase, the board sends forwardable address confirmation notices to any registered voters whose initial postcards were returned as undeliverable. The second, postage-paid card asks the voter to return updated registration information. All necessary changes are entered into the board's computer system or noted in its paper files. Postcards are filed alphabetically and separately from other records, so that they can be found quickly if formerly registered voters inquire about their purging from the voter list. Prior to the 1995 legislation, some counties with large populations (such as Montgomery) developed a postcard re-identification system to update their voter files.
- **Purging the Voter Lists.** A board of registrars may purge its list of registered voters to ensure that the list remains an accurate reflection of the county electorate. The laws also provide a means by which voters whose names have been erroneously removed from the list may be re-registered (Code of Alabama 1975, Section 17-4-132). Over the years, Alabama has followed three statutory methods, as well as federal law, in removing voters from the active lists: the traditional disqualification method established in 1907; the 1984 voter re-identification method; and, most recently, the postcard notification method of 1995. The last method incorporates the 1984 voter reidentification method and is currently the one more widely used.

Traditional Disqualification Method. Because the county must confirm that previously registered voters are no longer eligible, the traditional disqualification method relies on official notices. A county board of registrars may remove a voter's name from the rolls upon official notification of death, mental incompetence, conviction of a disqualifying offense; or after written notification (from the voter or

from another county or state registration official) that the voter has relocated outside the jurisdiction.

Postcard Notification Method (1995). The voter file maintenance act of 1995 (cited in the previous subfunction) incorporates most aspects of the traditional disqualification and voter reidentification methods. The reasons for purging voters from the active lists (death, mental incompetence, or criminal ineligibility) remain the same. If a voter fails to return the address confirmation postcard, fails to update his or her voting record at the polling place, or does not vote in any election between January 1997 and November 2000, his or her name will be placed in a suspense file for removal from the active voter list. Again, the law will require each county board to publish in the newspaper a complete list of voters to be purged before purging them. The first edition of this inactive voter list is scheduled for publication in the year 2000. Thereafter, the process will be repeated every four years.

- **Certifying Voter Information.** When registration closes before an election, each county's registrars make all additions, deletions, or other necessary changes to the voter list. The board certifies the list to be correct upon its submission to the probate judge. The judge then certifies that the alphabetical list of voters, by precincts and districts, constitutes the official list of registered voters and that the list is ready for distribution (Code of Alabama 1975, Section 17-4-129 and 17-4-130).
- **Reporting Statistical Information.** The board of registrars reports on a monthly and quarterly basis to the state Office of Voter Registration. These reports include statistical information on the daily count of registered voters, the daily count of inactive and active voters, and the daily count of all duplicate voter registrations. Such information is used by the Office of Voter Registration and the Secretary of State to develop statistical reports. The county boards may also produce annual transaction reports.
- **Administering Internal Operations.** A portion of the work of the county boards of registrars includes general administrative, financial, and personnel activities performed to support the operations of the boards. These activities include:

Managing the agency: Activities include internal office management activities common to most government agencies, such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the county commission department of finance, documenting amendments and performance of the budget and reporting on established budget categories; purchasing (requisition and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and

reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing human resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, promoting, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing properties, facilities, and resources: Activities include: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities, leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Analysis of Record-Keeping Systems and Records Appraisal of the County Boards of Registrars

Agency Record-Keeping System

Boards of registrars vary considerably in their records filing systems. Although every county board is now computerized, with information stored electronically on the Alabama Voter Information Network (ALVIN) and/or a county computer system, many boards retain their paper records as a back-up.

Computer Systems. Of counties that have dual computer systems, both their systems and ALVIN require entry of the following data: voter's name, identification number, Social Security number or other unique identifier, mailing address, residential address (if different from mailing address), date of birth, registration date, precinct and district, date last voted, classification as active or inactive voter, and (for inactive voters) date and reason for purging. The statewide ALVIN system was designed and is supported by the Information Services Division of the state Department of Finance. It is housed on the state's IBM mainframe and is connected to the county terminals (which vary in type from IBMs to Zenith Data Systems) through dedicated telephone lines or T-1 lines.

Paper-based Systems. All boards of registrars in Alabama use computers, but no board relies solely on the computer or plans to do so in the near future. Most boards have numerous filing cabinets full of voter applications, card files of current voters, and files of purged or removed voters (sometimes called the "Dead and Gone Files"). A board may also have bound volumes of voter lists or lists of qualified electors.

Records Appraisal

The following is a discussion of records created and maintained by county boards of registrars listed under their subfunctions. At the end of this records appraisal is a list of **Records No Longer Created** by the boards of registrars that may still be maintained in their offices.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records maintained by county boards of registrars are discussed below.

- **Registration Logs and Summaries/Entry Ledgers/Transmittal Forms (2.02).** These records are various logs, ledgers, summaries, and transmittal forms used to track and analyze voter registration in each county. Information may include alphabetical periodic listings of new voter registrants; voter registration numbers and related information; transmittal forms used in compiling voter registrations; and forms used to report "motor voter" registration information. Information in these records is summarized in the list of registered voters, a permanent record.

- **District and Precinct Maps (2.03).** These maps are used in determining voter applicants' precincts and districts. They are copies of maps retained permanently by the county commission. The board may alter its copies of the maps; for instance, it may color the precincts to assist voters, political parties, or other interested groups in determining the precise location of precincts and beats. The board of registrars copy is kept until superseded.
- **Voter Registration Cards and/or Files (3.01).** In order to update registration lists, reassign precincts, and certify lists of registered voters, many county boards of registrars use locally designed cards on each registered voter to back up ALVIN or their own computer systems. Voter information is written on the card when an initial application is received, and changes in address or precinct are likewise noted. Voter registration cards may also document voting activity. These are restricted records. The retention on the records is governed by the Code of Alabama 1975, Sections 17-4-125, -133, -185, -201, and -231.
- **Election Poll Lists (4.01).** These records are used by poll workers to record the registered voters who actually vote in county and municipal elections. After the election, they are forwarded to the board of registrars. Using the annotated lists, the board updates its voter history files and cards, then returns the lists to the appropriate official. Municipal poll lists are returned to the city clerk; all other election lists are returned to the judge of probate (Code of Alabama 1975, Section 17-4-231). Under Attorney General's Opinion 98-00144, poll lists forwarded to these officials may contain other identifying information in addition to a voter's name and polling place. Although election poll lists are not traditionally retained by the board of registrars, the board may store the records in agreement with the judge of probate or municipal clerk. In either case, the lists are not considered permanent, because information on who voted in an election is transferred to the voter history files, which are retained until a voter dies or is disqualified.
- **Postcards (4.02).** Postcards are used in the postcard notification method of updating voter files to identify people who have moved to a new address in or out of the county. Information received on the card is entered into a county's computer system and/or updated on the voter history cards. Postcards should be maintained for four years, until the next postcard notification mail out occurs.
- **Source Documentation (4.03).** These records aid the board in updating its voter files. They include reports such as: vital statistics reports on deaths in the county, mental incompetency reports, public safety reports, E-911 addresses, and felony reports. Source documentation augments changes in the voter history files and additions to the inactive voter list, published every four years.
- **Update Forms Submitted by Voters (4.04).** Qualified voters may complete an update form to notify the board of any changes in their name, residence, or mailing address. Preferably, voters should contact the board before an election and complete a form or send a letter identifying all necessary changes. However, the voter may also complete an update form at the polls on election day. Information from the form is entered into the board's computer system and/or updated on the voter history cards.

After this information is published (once every four years), there is no longer any need for the update forms.

- **Cancellation Notices (4.05).** Cancellation notices are sent to inform a county board of registrars that a voter in the county has moved to another county or state. They are commonly sent as an email message by the board of registrars in the county to which the individual has moved at the time when s/he applies to vote in the new county. They are also sent from other states to the Office of Voter Registration and are forwarded once a month to the proper county. The information is immediately added to the list of inactive voters in a county, and there is no need for the notices themselves longer than two years.
- **Inactive Voter Lists (5.01).** These records document the placement of persons on inactive voter status, based on non-response to the postcard notification system. The final version becomes the purge list (item 5.02), which is a permanent record. This list is published every four years.
- **Voter Registration Statistical Reports (7.01).** These reports are copies of those submitted to the state Office of Voter Registration to document voter registration activity in each county. They include daily, monthly, quarterly, and yearly reports and provide statistical information on voters' race and gender, as well as on total voting activity. The permanent records documenting this activity are located in the Office of Voter Registration and will be transferred to ADAH in accordance with that agency's records disposition authority. The county boards of registrars copies provide short-term reference and do not need to be kept longer than one year.

II. Permanent Records. The Government Records Division recommends the following records as permanent:

Promulgating Rules and Regulations:

- **Board Meeting Minutes, Agendas, and Packets (1.01).** These records document meetings of the county board of registrars. They include agendas and packet materials reviewed by members prior to meetings. Because a county board's membership turns over, on average, every four years, minutes and related records are essential to provide long-term documentation of board actions, and to assist new registrars in understanding the policy decisions of their predecessors. Not all county boards currently create minutes.
- **Board's Administrative Files (1.03).** These records include all correspondence regarding policy development: preclearances from the Justice Department, Attorney General's Opinions, accounts of board meetings, and related information. For many boards of registrars, such records are the only means of documenting the activities of previous board members, especially if a board did not create a policies and procedures manual or keep formal minutes. Administrative files provide insight into how the board operated and reacted to various social and political changes within the community. Occasionally, these files may not exist or may have been removed by earlier administrations. Administrative files do not include

information produced by other agencies and used by the board purely for reference, such as the Alabama Election Handbook or the Code of Alabama. Such reference materials, along with routine correspondence concerning the board's day-to-day activities, are temporary records covered under "Administering Internal Operations—Managing the Agency."

- **Policies and Procedures Manuals (1.04).** A board of registrars has a right to establish reasonable internal procedures to ensure that the processing of voter registration forms is done in an orderly manner. Not all county boards create policies and procedures manuals. Where they do exist, they provide essential long-term documentation of board policies.

Registering Voters:

- **Voter Applications (2.01).** These records document initial voter applications and are restricted records under the Code of Alabama 1975, Section 17-4-122. Under both the National Voter Registration Act and state law, voters remain on the voting list unless their qualifications change, and purged voters may apply for reinstatement upon restoration of their voting rights. Because they provide ongoing documentation of voter qualifications, the applications are appraised as permanent. The one exception is for applications that are incomplete. These should be retained for six months while the county board of registrars attempts to follow up on them. Voter applications are restricted records.

Maintaining Registration and Voting Information:

Permanent documentation of this subfunction is found in the List of Registered Voters prepared for each primary or general election.

Updating Registration Information:

Permanent documentation of this subfunction is found in the List of Registered Voters prepared for each primary or general election.

Purging the Voter Lists:

- **Purge Lists or Ledgers (5.02).** These records, compiled from the inactive voter lists (item 5.01), document the removal of ineligible voters from the voter lists. Information in them includes the voter's name, age, precinct, post office, and—as required by Sections 17-4-133 and -185 of the Code of Alabama 1975—the reason for purging from the list (death, felony conviction, or departure from the state). The purge list is one of the few open public records that provides documentation of boards of registrars' activities. Although county boards formerly created this record annually, with the new legislation of 1995 purge lists will be compiled every four years.

Certifying Voter Information:

- **Lists of Registered Voters (6.01).** Each board of registrars is required to provide a certified, alphabetical list of registered voters (sometimes called the list of qualified voters) by pre-

cinct, district, or other subdivision prior to a statewide primary or general election. In fact, the board prepares two copies of the list—one for its use and one for the judge of probate—and the board’s copy is permanent under the Code of Alabama 1975, Section 17-4-187. Although published in the local newspaper prior to a primary election, the list of registered voters may not be used as a poll list on election day. Likewise, the official list should not be replaced by a newspaper copy.

Reporting Statistical Information:

Permanent documentation of this subfunction is found in records maintained by the state Office of Voter Registration. They will be transferred to the Alabama Department of Archives and History under that agency’s RDA.

Administering Internal Operations - Managing the Agency:

- **Board of Registrars History Records (8.06).** These records are maintained to document the history of the county board of registrars and may include scrapbooks, ledgers or volumes, speeches, or newspaper clipping files pertaining to important events or issues in the history of the office.
- **Publicity and Informational Materials (8.07).** These are printed materials intended to publicize the activities of the county boards of registrars and their policies and procedures. They may address such responsibilities of the office as registration procedures and the different methods and locations for registration. In addition to providing useful information, they document the office’s efforts to communicate with local citizens.
- **Website (8.09).** A number of boards of registrars have developed websites to respond to public inquiries and provide information on voter registration procedures. In order to document this record over time, the disposition calls for a complete copy of the site to be preserved annually or as often as significant changes are made to it.

III. Records No Longer Created. The following record was formerly created by county boards of registrars, but is no longer created.

- **Voter Registration Written Examinations, 1901-1967 (12.01).** Formerly, county boards of registrars could require applicants to complete a written examination as a means of determining if they were qualified to vote. Under the Code of Alabama 1975, Section 17-4-122, examinations were maintained as restricted records. Following the Voting Rights Act of 1965, most counties stopped requiring them; none was created after the Twenty-sixth Amendment to the U.S. Constitution in 1971. While these records are historically significant, only completed examinations from Montgomery, Jefferson, and Dallas Counties will be identified for preservation in the RDA. ADAH already holds Montgomery County’s examinations; Jefferson and Dallas Counties may transfer theirs to the department. In the future, ADAH may develop a sampling mechanism to limit the number of restricted records it maintains. Other county boards of registrars should keep a blank sample copy of the voter

registration examination on file for future public access, or deposit these records with a local library, archives, or historical society.

County Boards of Registrars Permanent Records List

Promulgating Rules and Regulations

1. Board Meeting Minutes, Agendas, and Packets (1.01)
2. Board Administrative Files (1.03)
3. Policies and Procedures Manuals (1.04)

Registering Voters

1. Voter Applications (2.01)

Purging the Voter Lists

1. Purge Lists or Ledgers (5.02)

Certifying Voter Information

1. Lists of Registered Voters (6.01)

Administering Internal Operations - Managing the Agency

1. Board of Registrars History Records (8.06)
2. Publicity and Information Materials (8.07)
3. Website (8.09)

Records No Longer Created

1. Voter Registration Written Examinations, 1901-1967 (Montgomery, Jefferson, and Dallas Counties)(12.01)

County Boards of Registrars Records Disposition Authority

This records disposition authority (RDA) is issued by the Local Government Records Commission under authority granted by the Code of Alabama 1975, Section 41-13-5 and 41-13-22 through -24. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the county boards of registrars. The RDA lists records created and maintained by county boards of registrars in carrying out their mandated function and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the boards to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their office. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successors in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Section 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334)242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules or RDAs governing the retention of records by the county boards of registrars. Copies of superseded schedules, or previous versions of this RDA, are no longer valid and may not be used for records disposition.
- This RDA establishes retention and disposition instructions for records created by county boards of registrars. It does not require the creation of any record not normally created in the conduct of the board's business, although the creation of certain records is required by the board's administrative procedures, work responsibilities, audit requirements, or legislative mandates. Individual boards of registrars may not necessarily create all the records listed below.
- This RDA establishes retention and disposition instructions for records listed below regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.

- Some temporary records listed within the Administering Internal Operations subfunction of this RDA represent duplicate copies of long-term or permanent records maintained by other agencies.
- Certain other record-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus printed materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of materials sent for informational purposes but not needed by the receiving office for future business; and internal communications about departmental social activities. They may be disposed of without documentation of destruction.
- Any record created by a county board of registrars prior to 1900 should be regarded as permanent.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the county boards of registrars and lists records created and/or maintained by the boards as a result of activities and transactions performed in carrying out these subfunctions. County boards of registrars may submit requests to revise specific records disposition requirements, or to create requirements for additional records, to the Local Government Records Commission for consideration at its regular quarterly meetings.

1. Promulgating Rules and Regulations

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
1.01	Board Meeting Minutes, Agendas, and Packets. These records document the development of policies and procedures at meetings of the county board of registrars. They include agendas and packet materials reviewed by members prior to meetings.	PERMANENT

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| 1.02 | Recordings of Meetings. Audio or video recordings provide a verbatim of meetings of the county board of registrars. They are normally used only as an aid to preparation of the minutes. | Retain until minutes are approved. |
| 1.03 | Board's Administrative Files. These records include all correspondence regarding policy development: preclearances from the Justice Department, Attorney General's Opinions, accounts of board meetings, and related information. They do not include information produced by other agencies and used by the board purely for reference or routine correspondence. | PERMANENT |
| 1.04 | Policies and Procedures Manuals. These records summarize the board's policies and procedures for processing voter registration forms and other operations. | PERMANENT |

2. Registering Voters

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
2.01	Voter Applications. These records document initial voter applications. Under both the National Voter Registration Act and state law, voters remain on the voting list unless their qualifications change, and purged voters may apply for reinstatement upon restoration of their voting rights. <u>Note:</u> These are restricted records under the Code of Alabama 1975, Section 17-4-122.	PERMANENT Exception: Retain incomplete applications 6 months.
2.02	Registration Logs and Summaries /Entry Ledgers/ Transmittal Forms. These records include various logs, ledgers, summaries, and transmittal forms used to track and analyze voter registration in each county. Information may include alphabetical periodic listings of new voter registrants, voter registration numbers, and related information, as well as transmittal forms used in compiling voter registrations. May include records used to report "motor voter" registration information. Information in these records is summarized in the list of registered voters, a permanent record.	Retain 5 years after final entry.

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| 2.03 District and Precinct Maps. These maps are used in determining voter applicants' precincts and districts. They are copies of maps retained permanently by the county commission. | Retain until superseded. |
| 2.04 Notices of Rejected Applications. These records document the rejection of voter registration applications, including the reason(s) why the application was refused. | Retain 6 months unless denial is appealed, then retain until notice of final judgment is received. |

3. Maintaining Registration and Voting Information

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
3.01	Voter Registration Cards and/or Files. In order to update registration lists, reassign precincts, and certify lists of registered voters, many county boards of registrars use locally designed cards on each registered voter to back up ALVIN or their own computer systems. Voter information is written on the card when an initial application is received, and changes in address or precinct are likewise noted. Voter registration cards may also document voting activity. These are restricted records.	Retain 4 years after official notification of death, felony conviction with no remaining appeals, or relocation, unless purge list does not indicate reason for removal; if it does not, retain in office (Code of Alabama 1975, Sections 17-4-125, -133, -185, -201, and -231).

4. Updating Registration Information

No.	Records Title	Disposition
4.01	Election Poll Lists. These records are used by poll workers to record registered voters who actually vote in county and municipal elections. After the election, they are forwarded to the boards of registrars for updating voter history files. Note: Under Attorney General's Opinion 98-00144, poll lists returned to the county probate judge or municipal clerk may contain other identifying information in addition to a voter's name and polling place.	Retain until voter history files/cards are updated, then return lists to the probate judge or municipal clerk (Code of Alabama 1975, Section 17-4-231).
4.02	Postcards. These records are used in the postcard notification method of updating voter files to identify people who have moved to a new address in or out of the county. Information received on the card is entered into the computer system and/or updated on the voter history cards.	Retain 4 years.
4.03	Source Documentation. These records aid the board in updating its voter files. They include reports such as vital statistics reports on deaths in the county, mental incompetency reports, public safety reports, E-911 addresses, and felony reports.	Retain 4 years.
4.04	Update Forms Submitted by Voters. These forms are used by qualified voters to notify the board of any change in their name, residence, or mailing address. Information from the form is entered into the board's computer system and/or updated on the voter history cards.	Retain 4 years.

- 4.05 Cancellation Notices.** These notices serve to inform a county board of registrars that a voter in the county has moved to another county. Commonly sent as an email message by the board of registrars in the county to which the individual has moved when s/he applies to vote in the new county. Cancellation notices are also sent from other states to the Office of Voter Registration and are forwarded once a month to the proper county. Retain 2 years.

5. Purging Voter Lists

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
5.01	Inactive Voter Lists. These records document the placement of persons on inactive voter status, based on non-response to the postcard notification system. The final version becomes the purge list (see below).	Retain 4 years.
5.02	Purge Lists or Ledgers. These records, compiled from the inactive voters lists (item 6.02), document the removal of ineligible voters from the voter lists. Information in them includes the voter's name, age, precinct, post office, and the reason for purging from the list: death, felony conviction, or departure from the state. (Code of Alabama 1975, Sections 17-4-133 and -185.)	PERMANENT

6. Certifying Voter Information

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
6.01	Lists of Registered Voters. These records provide a certified, alphabetical list of registered voters (sometimes called the list of qualified voters) by precinct, district, or other subdivision prior to a statewide primary or general election.	PERMANENT (Code of Alabama 1975, Section 17-4-187).

7. Reporting Statistical Information

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
7.01	Voter Registration Statistical Reports. These reports are copies of those submitted to the state Office of Voter Registration to document voter registration activity in each county. They include daily, monthly, quarterly, and yearly reports and provide statistical information on voters' race and gender, as well as on total voting activity.	Retain 1 year.

8. Administering Internal Operations—Managing the Agency

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
8.01	Administrative Reference Files. These records include materials not created by the county boards of registrars; they are collected and used only as reference sources of information.	
	a. Code of Alabama, Alabama Election Handbook	Retain until superseded.
	b. Other reference materials	Retain for useful life.
8.02	Routine Correspondence. This type of correspondence documents the daily conduct of the board's business, rather than policy development or issues of long-term administrative impact.	Retain 5 years after the end of the fiscal year in which the records were created.
8.03	Telephone Logs and Fax Machine Logs. These records are lists of telephone and fax machine contacts and related data.	Retain for useful life.

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| <p>8.04 Calendars. These records include desk calendars and other scheduling devices for board personnel.</p> | <p>Retain for useful life.</p> |
| <p>8.05 Records Management Documentation</p> | |
| <p>a. Records Documenting Implementation of the Board's Approved RDA. These records include records management plans, records inventories, lists of records held by local archives, finding aids, and indexes.</p> | <p>Retain until superseded.</p> |
| <p>b. Copy of Approved RDA. The RDA provides legal guidelines for the disposition of the board's records.</p> | <p>Retain 5 years after the end of the fiscal year in which the records were created.</p> |
| <p>c. Local Government Records Depository Agreements. These records are formal agreements executed by the board so that a local records depository (library, archives, or historical society) may accept physical custody of long-term records. They include inventories of records in the depository. (<u>Note:</u> Depository agreements must be approved by the Local Government Records Commission. For more information, contact ADAH.)</p> | <p>Retain 10 years after termination of the agreement.</p> |
| <p>d. Destruction Notices. Records documenting the legal disposition of disposable records.</p> | <p>Retain 5 years after the end of the fiscal year in which the records were created.</p> |
| <p>8.06 Board of Registrars History Records. Scrapbooks, newspaper clippings, ledgers, photographs, videotapes, or volumes compiling historical information about the office.</p> | <p>PERMANENT</p> |
| <p>8.07 Publicity and Informational Materials. News releases, newsletters, brochures, periodicals, photographs, videotapes, audiotapes, speeches, public service announcements.</p> | <p>PERMANENT</p> |

8.08 Computer Systems Documentation. These files include ALVIN handbooks and (for boards that operate their own computer systems) Y2K records, hardware and software manuals and diskettes, and warranties.

a. ALVIN Handbooks

Retain until superseded.

b. Other System Documentation

Retain former system documentation 5 years after the end of the fiscal year in which the former hardware and software no longer exist anywhere in the agency and all permanent records have been migrated to the new system.

8.09 Website. Website developed by the boards of registrars to provide information to the public, such as registration procedures and hours of operation.

PERMANENT
Preserve a complete copy of website annually or as often as significant changes are made.

9. Administering Internal Operations - Managing Finances

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
9.01	Budgeting Records. Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance.	Retain 5 years after the end of the fiscal year in which the records were created.
9.02	Purchasing Records. Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products; may include purchase orders, invoices, purchasing card receipts, and receiving reports.	Retain 5 years after the end of the fiscal year in which the records were created.
9.03	Accounting Records. Records of original entry, such as journals, registers, ledgers, cash books, and records of deposits of funds. May include cancelled checks, check stubs, deposit slips, and other banking records, receipts, and vouchers.	Retain 5 years after the end of the fiscal year in which the records were created.
9.04	Travel Records. Records documenting requests for authorization from supervisors to travel on official business and related materials, such as travel reimbursement forms and itineraries.	Retain 5 years after the end of the fiscal year in which the records were created.
9.05	Bid Files. Records documenting the bid process, including requests for proposals and unsuccessful responses.	Retain 7 years after the date bids were opened (Code of Alabama 1975, Section 41-16-54).
9.06	Contracts. Records documenting contracts for services or personal property.	Retain 10 years after termination.

9.07 Audit Reports. Annual audits by the Examiners of Public Accounts. **PERMANENT**

9.08 Federal and State Grant Project Files.

a. Supporting Documentation. Includes background materials, financial reports, interim reports, and any other supporting documentation for grants that have been awarded and all records relating to grant applications that have been rejected. Retain 6 years after submission of final report or the denial of application.

b. Final Narrative Reports. Final narrative summaries submitted according to the requirements of the funding agency. **PERMANENT**

10. Administering Internal Operations - Managing Human Resources

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
10.01	Requests for Professional/Support Staff Position. Records documenting requests for personnel submitted by individual boards of registrars and subsequent reviewing and/or approval actions taken by the county commission.	Retain 5 years after the end of the fiscal year in which the records were created.
10.02	Employee Handbooks. Handbook created by county boards of registrars to explain internal operations and procedures to new employees.	PERMANENT
10.03	Employee Newsletters. Internal newsletters created by county taxation offices to communicate office news and important events to employees.	PERMANENT

- 10.04 Employee Personnel Files.** Records documenting an employee's work history with the board of registrars, generally maintained as a case file; includes records of continuing education, performance evaluation, disciplinary actions, background checks. Retain 6 years after separation of employee.
- 10.05 Employee Work Schedules.** Records documenting employees' daily and weekly work schedules. Retain 5 years after the end of the fiscal year in which the records were created.
- 10.06 Leave and Attendance Records**
- a.** Records documenting employees' hours worked, leave earned, and leave taken, including time sheets and cards. Retain 5 years after the end of the fiscal year in which the records were created.
- b.** Records documenting sick leave donations. Retain 5 years after the end of the fiscal year in which the records were created.
- c.** Records documenting final leave status (cumulative leave). Retain 10 years after separation of the employee from the agency.
- 10.07 Training Records.** Records documenting the provision of in-service training and professional development for staff, including workshop records and evaluations. Retain 3 years.

11. Administering Internal Operations - Managing Properties, Facilities, and Resources

<u>No.</u>	<u>Records Title</u>	<u>Disposition</u>
11.01	Annual Inventory Records. Records documenting all personal property, equipment, or capital outlay of the office on an annual basis.	Retain 5 years after the end of the fiscal year in which the records were created.
11.02	Receipts of Responsibility for Property. Records documenting office property temporarily in the use or possession of an employee.	Retain until return of item to the property manager
11.03	Facilities/Buildings Security Records. Records documenting security the carrying out of security measures and procedures by the probate office in its buildings and facilities, including visitor logs.	Retain 5 years after the end of the fiscal year in which the records were created.
11.04	Facilities/Buildings Inspection Files and Reports. Records documenting inspection of county boards of registrars facilities to comply with the standards, rules, and codes affecting the health and safety of the occupants; includes security inspections and safety inspections.	Retain 5 years after the end of the fiscal year in which the records were created.
11.05	Building Maintenance Work Orders. Records documenting routine maintenance on county boards of registrars facilities and property.	Retain 1 year.
11.06	Vehicle and Equipment Maintenance Files. Records documenting routine maintenance on county boards of registrars office vehicles and equipment.	Retain 5 years after the end of the fiscal year in which the vehicle or equipment is sold or replaced.

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| 11.07 | Motor Pool Vehicle Records. Records documenting reservations and use of motor pool vehicles by probate office personnel and gasoline usage by motor pool vehicles. | Retain 5 years after the end of the fiscal year in which the records were created. |
| 11.08 | Employee Parking Records. Records documenting employee parking permit applications, cards, and permits. | |
| | a. When parking fee is charged. | Retain 5 years after denial of application or expiration of card or permit. |
| | b. When no parking fee is charged. | Retain one year after permit expires. |

12. Records No Longer Created

No.	Records Title	Disposition
12.01	Voter Registration Written Examinations, 1901-1967. These records were examinations required of applicants to determine whether they were qualified to vote. They were maintained as restricted records (Code of Alabama 1975, Section 17-4-122). Following the federal Voting Rights Act (1965) and the Twenty-sixth Amendment to the U.S. Constitution (1971), these records were no longer created.	
	a. Records from Montgomery, Jefferson, and Dallas Counties:	PERMANENT Transfer to the Alabama Department of Archives and History or to a local archives.

b. Records from Other Counties

Retain a blank sample copy of the examination in the office. Completed examinations may be deposited with a local library, archives, or historical society under the terms of a local government records depository agreement.

Requirement and Recommendations for Implementing the County Boards of Registrars Records Disposition Authority

Under the Code of Alabama 1975, Section 41-13-23, “no county, municipal, or other local government official shall cause any...record to be destroyed or otherwise disposed of without first obtaining the approval of the local government records commission.” This RDA constitutes authorization by the Local Government Records Commission to dispose of records as stipulated, with the condition that the responsible official must submit a Local Government Records Destruction Notice to the ADAH Government Records Division to document the destruction. The ADAH, which serves as the commission’s staff, retains local records destruction documentation as a permanent record. (For more information, see the ADAH procedural leaflet *Records Destruction Procedures for Local Governments*.)

In addition to authorizing a procedure for legally destroying temporary county board of registrars records, the Local Government Records Commission urges the boards of registrars to establish a quality record-keeping program in order to meet its legal and public service needs. Such a program should include the following activities.

- The board of registrars should designate a records officer who should be responsible for ensuring the regular implementation of this RDA, maintaining records in compliance with national and state standards, and coordinating the destruction of disposable records.
- Permanent records in the board’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation. In addition to records appraised as permanent in the RDA, the Local Government Records Commission has classified all records created prior to 1900 as permanent.
- Destruction of temporary records, as authorized in this RDA, should occur office-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility for the period legally required.
- Microforms of permanent records should conform to quality standards set by the American National Standards Institute (ANSI) and the Association for Image and Information Management (AIIM) and may be examined for compliance by Government Records Division staff

prior to destruction of the original records. According to the Code of Alabama 1975, Section 41-13-44, no microfilmed record may be legally destroyed “until the microfilm copy has been processed and checked with the original for accuracy.” Government Records Division staff may examine agency microfilm for compliance prior to destruction of the original records.

- The board should notify the ADAH Government Records Division of any significant changes in its records storage conditions or records management procedures. It may also contact the division to request revision of its RDA. Normally, RDA revisions will be submitted to the Local Government Records Commission every two years. ADAH Government Records Division staff will notify the boards of registrars of any commission-approved changes in record-keeping requirements that affect all offices.
- The staff of the Local Government Records Commission may examine the condition of permanent records maintained in the custody of the county boards of registrars and inspect records destruction documentation. Government Records Division archivists are available to train board staff in RDA implementation and otherwise assist the boards in implementing their records management program.

The Local Government Records Commission adopted this Records Disposition Authority on April 18, 2003.

By: _____ Date: _____
Chairman, Local Government Records Commission

By: _____ Date: _____
Chairman, _____ County Board of Registrars

By: _____ Date: _____
Member, _____ County Board of Registrars

By: _____ Date: _____
Member, _____ County Board of Registrars